

The Board of Elections in the City of New York
List Maintenance Comprehensive Remedial Plan Internal Issues
Required by Consent Decree Dated: December 14, 2017
Updated October 18, 2019, November 26, 2019
& January 24, 2020

Table of Contents

Executive Summary	3
Background	4
List Maintenance Unit and Staffing.....	13
Roles & Responsibilities of LMU Supervisors	14
Complaint Intake Procedures:	16
High-Level Service Requirements.....	16
Implementation Plan & High-Level Timeline - Long-Term Proposal	17
Step-by-Step Account of the List Maintenance Procedures	18
Procedures to Track these Voters and Determine the Number of Cancellations.....	26
Training – for List Maintenance Implementation Program.....	28
Remedial Action Plan–Administrative Matters.....	30
Remedial Action Plan Termination	36

APPENDIX A – NYCBOE Timeline Chart

APPENDIX B – NYCBOE Reporting Schedule

APPENDIX C – Technical Action Plan

APPENDIX D – Technological Safeguards: AVID 5.5 Release Notes

APPENDIX E – Technological Safeguards: AVID 6.0 Release Notes

APPENDIX F –List Maintenance Procedures: Technical Manual and Reference Guide

APPENDIX G – PARS Code Glossary and USPS Returned Mail Codes Samples

APPENDIX H – Gantt Charts

Executive Summary

In compliance with the Consent Decree duly executed by and between the United States Department of Justice (USDOJ), the New York State Office of the Attorney General (NY-SAG), et al., the New York City Board of Elections (NYCBOE) and United States District Court Judge Nicholas G. Garaufis the NYCBOE is respectfully submitting this - List Maintenance Comprehensive Remedial Action Plan (CRP) – Internal Issues. This Plan details:

- Background information explaining procedural changes.
- Corrective actions the Board has made prior and subsequent to the filing of the instant litigation. The Board is making every effort to ensure compliance with the Consent Decree and provide proper service to the voters, including within its list maintenance policies, procedures and training manual.
- A timeline for implementation of all phases of the improvements to the Archival Voter Information Database (AVID) system and policies/procedures related thereto.
- The creation of staff positions to ensure uniformity, implementation, and to maintain accuracy.
- Enhancement of the training program for all NYCBOE list maintenance staff.
- Issues encountered during various stages of implementation and our efforts toward resolution.
- The culmination from the eight List Maintenance team meetings held between March 2018 and January 2019.

Three NYCBOE Main Action Goals

1. Create a CRP for implementation of uniform List Maintenance policies and procedures for the NYCBOE to be followed by all employees conducting list maintenance activities.
2. Designate Citywide List Maintenance Managers (2) and an MIS Coordinator (1) to maintain the uniform policies and procedures.
3. Follow the CRP and meet the reporting and enforcement requirements of the Plan.

NOTE: Election preparation activities will take preference over the systematic list maintenance activities described within this Remedial Action Plan during the 60 days prior to elections; unless otherwise precluded by statute or regulation.

Background

In April of 2016, the NYCBOE received an inquiry regarding the removal of voters from the registration list as reflected in the New York State Board of Elections (“State Board”) official list of registered voters published semi-annually in April and November. After conducting a thorough investigation, the NYCBOE uncovered the following issues:

1. **ITC INFO66** (an Intent to Cancel process that was established to remediate a backlog of list maintenance activities created from 2007 until approximately the end of 2011 – a period when the NYCBOE was not receiving voter information through the NYSVoter System. Upon mutual agreement between the NYCBOE and the State Board, the sharing of voter information resumed in approximately 2011 and a manual process was established to provide a facility to produce historical records.

The NYCBOE was criticized in a New York City Department of Investigation Report (DOI), published on December 30, 2013, for among other things, failing to remove voters from the registration lists. To highlight this fact, the DOI cast votes for a fictional candidate “John Test” using the names of alleged deceased voters.

Commencing in March 2014, a local office of the NYCBOE, in an apparent attempt to respond to the DOI criticism began a “flagging” process to identify voters for potential removal. This process continued from March 2014 until April 2015. A total of 122,454 voters were identified for potential removal. All such voters were mailed an Intent to Cancel Notice. This task was completed in two batch mailings – the first on May 26, 2015 totaling 111,372 voters and the second on June 8, 2015 totaling 11,082 voters.

As a result of the May 26, 2015 ITC INFO 66 mailing, a total of 107,694 voters **were** removed from the voter list. As a result of the June 8, 2015 ITC INFO 66 mailing, a total of 10,343 voters **were** removed from the voter list. A total of 4,417 returned the ITC INFO 66 notices to the NYCBOE **were not** removed from the registration list.

In April 2016, the NYCBOE identified that **117,535** voters **were** removed from the voter registration lists by way of the ITC INFO66 process.

Solution:

Presidential Primary Certification Process – All Affidavit Ballots cast in the Presidential Primary conducted on April 19, 2016 received enhanced screening. By directive of the Board of Commissioners, the voter record for every affidavit voter was printed and reviewed by bipartisan teams of employees to determine whether the voter was eligible to vote in the particular contest. Apparently eligible voters did not present an issue; however, the records of apparently ineligible voters were carefully reviewed. If an individual was

previously registered, subsequently removed and the voter record did not support such removal, the voter was restored to active status and their ballot was counted. A total of **173** such voters were identified, their ballots were counted and their voter history reflects credit for voting in that election event.

On May 18, 2016, NYCBOE disabled the ITC INFO66 function in AVID.

This manual function remains disabled and is not intended for future use.

On June 6, 2016, the 117,535 NYCBOE voters were **restored to active status**.

2. **Issues with the NYCBOE AVID system and NYSVoter System Electronic Communication** – The State Board publishes enrollment totals twice per year, in April and November. On April 17, 2016, the NYCBOE received a query from the public on why the enrollment count in Brooklyn declined between those reporting periods.

The NYCBOE performed a preliminary investigation on April 18, 2016 and learned that there were voters who were cancelled prior to November 2015 that remained active on the NYSVoter system past the November reporting period. Once the annual full reconciliation audit occurred in March 2016, both systems were synchronized and a portion of the apparent decline in the State Board reported voter enrollment was explained.

On May 2, 2016 NYCBOE Executive Management directed MIS and system consultants to query AVID to identify cancellations in 2015. This process was initiated as a “double check” of the lists located on a compact disk (CD) obtained from the local office, ostensibly containing a dispositive list of the individual voters removed on June 18, 2015 and July 5, 2015 and on May 2, 2016, the NYSBOE also requested a sample list of voters cancelled in the 2015 ITC INFO66 process.

On May 10, 2016, system consultants provided NYCBOE technical staff with details regarding the backend system processes, bulk update jobs, and the State Board interface in a conference call with State Board and NYCBOE Executive Management. At the conclusion of the conference call, the system consultants and NYSBOE MIS were instructed to proceed with a comprehensive technical review to determine the origin of the electronic transmission difficulties between AVID and NYSVoter and to provide suggestions for appropriate remedial action.

The Technical Review

The technical review was conducted between May 10 and May 19, 2016. It consisted of exchanging files using email and follow-up phone calls to analyze the results. System consultants examined NYSVoter transaction logs from June and July of 2015 to identify update activity for bulk transactions related to the removal of voters.

NYCBOE shared VSNs of the 117,535 identified voters in a text file (segmented in 3 or 4

files for easy handling) to the State Board. The State Board attempted to locate update activities for those voters for the period from June 18, 2015 through August 1, 2015. Technical staff reviewed the batch upload/update of the intent to cancel process to identify any potential areas of processing vulnerability.

Results of the Technical Review:

NYCBOE determined that while both systems only held interface transactional data on their respective databases for a few months, the city transactions could not be restored from 2015. As such, the logs from NYSVoter were the main data source for the bulk of the analysis.

Solution: As a result of this problem identification, NYCBOE system consultants worked expeditiously to enhance the interface system to archive transactions with NYSVoter.

3. **Transaction retention between NYCBOE and the State Board was limited** – the ability to research city to state interface issues was significantly limited by the lack of transactional artifacts within the city systems.

Solution: From May 11 to May 18 of 2016, NYCBOE system consultants made modifications to the state interface system to extend the retention of transactions. This modification now provides a separate rolling eight (8) year transaction archive of NYC to NYSVoter transactions. In addition, the archiving is now an automatic copy to a secondary table. This eliminates the need to use handwritten queries to prune the active transaction table which has been the source of issues in the past.

4. **Lengthy sync time for bulk transactions**

There are high volume transactions between the city and the state, especially when multiple bulk updates are processing. To resolve these issues, from May 19 to May 31, 2016, NYCBOE system consultants redesigned and rewrote the NYC/NYSVoter interface.

Instead of using a monolithic server, the NYCBOE divided the state interface server into the following:

- 5 Audit Servers, 1 per county
- 1 Duplicate/Death/Felon Application Server
- 1 MOVE Server and 1 Voter History Server
- 5 Voter Transaction Upload Application Servers
- 5 Voter Transaction Download Application Servers

The redesigned application servers have proven to be successful in production. Since early June 2016, the re-sync audit has been reduced from 66 hours to less than 24 hours.

5. Bulk Update Transactions

NYCBOE system consultants modified all batch jobs to link state transactions generated to the specific job run. Transactions for bulk update jobs are now written with a Job name and Job Date into the NYC/NYSVoter transaction table. This solved the following issues:

- Controls ensure that the number of transactions generated for NYSVoter update match the number of updates on the AVID voter file.
- The upload status of the entire job can be determined by process reporting the transaction status on the NYSVoter transaction table.
- The final step of the job is a drop audit for all the voter records processed. The final audit status for all voters is then reportable.

These features were put into production **on June 2, 2016 (approximately six (6) weeks from the date the issues were identified)** and have proven to be very successful in the intervening bulk updates, including the 2016 NCOA, 2017 A-X run, and two GEO re-syncs. The rapid response to these issues, during an extremely busy Presidential Election year, approximately five months in advance of the filing of litigation, demonstrates the NYCBOE's collective commitment to ensuring that the voter lists are properly maintained in compliance with all laws and regulations.

6. Increase the Frequency of Reconciliation Audits

With the specialization and compartmentalization of the interface application programs, the overall throughput of the system has been greatly enhanced. The need to pause other activity for MOVE transactions has been eliminated. As a result, audits are performed more frequently without interrupting the work being performed at the borough offices, as was previously required.

As an example, reconciliation “drop audits” with the NYSVoter system occur approximately once a week during weekend hours. **This process began on June 3, 2016 (the day after the enhanced features were placed in production)**. The aggressive commitment to these system improvements and the rapid implementation cannot be understated.

7. NYCBOE Initiates New Processing Controls

On **February 2, 2017**, the NYCBOE requested its system consultants to direct an analysis of the various AVID processes to make it more “fail safe,” and to meet the anticipated requirements of the Consent Decree as negotiations between the parties of the litigation were underway.

On **February 16, 2017**, system consultants presented to NYCBOE Executive Management a list of broad modifications that could be made to AVID to make it more fail safe. These modifications would be designed in conjunction with companion modifications necessary

to address the NYCBOE's concerns and any requirements that may be set forth in the Consent Decree. Next, Executive Management scheduled a conference call with borough managers and AVID managers for **February 27, 2017**. During the conference call, Executive Management identified borough staff that would contribute their expertise to help in the design of the new requirements.

On **March 22, 2017**, the design team met to kick off the project and discuss:

- Goals of the next version of AVID
- Initial ideas for updated AVID functionality
- Best practices from boroughs
- Potential workflow modifications
- Developing an action framework for design and development
- Consent decree mandates

Subsequent to the meeting, participants also provided relevant input regarding feature changes and document queues.

NYCBOE Comprehensive Remedial Plan

This CRP outlines how the NYCBOE is following the agreed upon terms of the Consent Decree. The NYCBOE is:

- Implementing policies and procedures that prevent voters from being improperly removed from the voter registration list.
- Making registration enhancements to include NYSVoter confirmation steps verifying the state impact with the new registration functions.
- Enhancing its policies and procedures to maintain accurate voter registration lists.
- Reviewing all registrations from July 1, 2013 and December 14, 2017.
- Modifying the AVID voter registration system for better controls toward a more “Fail Safe” operation. The AVID modifications were originally planned in three phases (See: **Appendix H**) for Gantt Charts. **Note:** after original planning the Operational Control Center was moved into its own deliverable as it was deemed important but less critical than other features.)
 - **Phase I – DOJ Reporting.** This phase was developed in the Summer of 2017. Phase I introduced new auditing activities to AVID to track the reporting elements based on the draft consent decree. New tables and automated procedures were developed for monthly and yearly reporting requirements. Sample extracts were also produced for verification.
- Backend enhancements made to AVID include the production of reports mandated by the Consent Decree on a recurring basis. The following schedule provides dates

when the recurring reports are emailed and the start and end dates for each reporting period.

Decree Report	Email Due	Start date	End date
Monthly	The fifteenth of the following month	1 st day of month	Last day of month
1st Semi-Annual	February 15	8/1 of previous year	1/31 of current year
2nd Semi-Annual	August 15	2/1 of current year	7/31 of current year
Yearly		1/1 of previous year	12/31 of previous year

- Importantly, several new return mail queues and activities were added to the AVID voter registration system in AVID 5.5 to support reporting requirements mandated by the Consent Decree. For a list of these consult the AVID 5.5 Release Notes. **(See: Appendix D)**
- The new queues and activity changes to the AVID Voter Registration program include enhancements to the AVID backend systems to support monthly, semi-annual and annual reporting.
- Enhancements include new tables and jobs to develop the required reports. A description of the enhancements to each Report follows:

I. Monthly Reporting

- To comply with the consent decree's monthly reporting requirements, a spreadsheet extract from AVID's '*MonthlyRegistrationStats*' table for all rows for the reporting year and month is performed and emailed on the 15th of the month following the reporting month. The table has the following columns:

```
[Year] [int] NOT NULL,
[Month] [int] NOT NULL,
[Boro] [int] NOT NULL,
[ActiveVoterCount] [int] NULL,
[InactiveVoterCount] [int] NULL,
[VotersCanceledThisMonth] [int] NULL,
[VotersInactivatedThisMonth] [int] NULL,
[TransferByNCOACount] [int] NULL,
[TransferByReturnedMailCount] [int] NULL,
[TransferByRegApplicationCount] [int] NULL,
[InactiveByNCOANoFwdAddressCount] [int] NULL,
[InactiveByNCOAOoutsideNYCCount] [int] NULL,
[InactiveByReturnedMailNoFwdAddressCount] [int] NULL,
[InactiveByReturnedMailOutsideNYCCount] [int] NULL,
[RegistrantCancelRequestMovedCount] [int] NULL,
[RegistrantCancelRequestOtherWritingCount] [int] NULL,
[DeathofRegistrantCount] [int] NULL,
[CanceledInactiveNoResponseToConfirmCount] [int] NULL,
[CanceledInactiveWithResponseToConfirmCount] [int] NULL,
[CanceledInactiveByNYSDupCount] [int] NULL,
[CanceledInactiveVoterRequestCount] [int] NULL,
[CanceledInactiveVoterDeathCount] [int] NULL,
[ReactivatedConfirmationReturnCount] [int] NULL,
```

```

[ReactivatedByElectionParticipationCount] [int] NULL,
[ReactivatedByRegistrationCount] [int] NULL,
[PotentialDupsRecievedFromStateCount] [int] NULL,
[NYSDupsMarkedDupCount] [int] NULL,
[NYSDupsMarkedNonDupCount] [int] NULL,
[NYSDupNoActionLast30DaysCount] [int] NULL,
[NYSDupNoActionGreaterThan30DaysCount] [int] NULL,
[NYSDupPurgedNYSVoterCount] [int] NULL,
[NYSDupPurgedAVIDCount] [int] NULL,
[PotentialDeathsRecievedFromStateCount] [int] NULL,
[NYSDeathsMarkedDeathCount] [int] NULL,
[NYSDeathsMarkedNonDeathCount] [int] NULL,
[NYSDeathNoActionLast30DaysCount] [int] NULL,
[NYSDeathNoActionGreaterThan30DaysCount] [int] NULL,
[NYSDeathPurgedNYSVoterCount] [int] NULL,
[NYSDeathPurgedAVIDCount] [int] NULL,
[FlaggedForINFO66Count] [int] NULL,
[InactivationCountFromUnscheduledBulkStatusChange] [int] NULL,
[CancellationCountFromUnscheduledBulkStatusChange] [int] NULL,
[ReactivationCountFromUnscheduledBulkStatusChange] [int] NULL,
[ReinstatementCountFromUnscheduledBulkStatusChange] [int] NULL,
[DeathCancellationsByCertificateSentToNYCBOE] [int] NULL,
[DeathCancellationsOtherThanCertificateOrNYSDeathNotice] [int] NULL,
[CancelledInactiveCount] [int] NULL,
[ReactivationCount] [int] NULL

```

- The statistics for the preceding month are automatically loaded by a recurring SQL job running the ‘*uspMonthlyRegStats*’ procedure.

II. Semi-Annual Reporting

- To comply with the consent decree’s semi-annual report requirements, a spreadsheet of audited voters is created using ‘*uspConsentDecreeCancellationAuditDetails*’ and ‘*uspSemiYearlyAuditVoters*’ procedures. These jobs fill the following two tables:

```

[SemiAnnualDOJSummary]
[Id] [int] IDENTITY(1,1) NOT NULL,
[ReportDate] [varchar](8) NOT NULL,
[Category] [varchar](1000) NOT NULL,
[SelectString] [text] NOT NULL,
[ActualCount] [int] NOT NULL,
[SampleCount] [int] NOT NULL,
[Sequence] [int] NOT NULL,
[Comment] [text] NULL,
[SQL] [text] NULL

```

```

SemiAnnualDOJ
[Id] [int] IDENTITY(1,1) NOT NULL,
[Category] [varchar](1000) NOT NULL,
[VSN] [varchar](9) NOT NULL,
[ReportDate] [varchar](8) NOT NULL

```

- Extracts from these tables are used for the semi-annual reporting spreadsheet. Lastly, the ‘*usp_ExportImagesForSemiAnnualAudit*’ procedure is utilized to export the most current document images for each voter identified in the audit.
- The images are compressed and should be made accessible through a link provided in the semi-annual reporting email. The email should contain the audit spreadsheet extract from the ‘*SemiAnnualDOJSummary*’ table included as an attachment.

III. Yearly Reporting

- To comply with the consent decree’s yearly reporting requirements, a copy of AVID voter files at the time of registration cutoff is archived to a separate database on the MIS warehouse server. This data is compared against voter history by affidavit for each election to develop statistics for yearly reporting.
- The following procedures are used to develop the yearly reporting:

```
uspSetCategoryForYearEndDOJ
uspSetCategoryForYearEndDOJInactives
uspSetCategoryForYearEndDOJReporting
uspYearlyRegStats
```

- These procedures develop year-end DOJ statistics that are held in the ‘*Year-EndDOJWorksheet*’ SQL table from the AVID Archive database. The table has the following columns:

```
[Year] [varchar](4) NULL,
[vsn] [varchar](9) NOT NULL,
[electionDate] [varchar](8) NOT NULL,
[ActivityCode] [int] NOT NULL,
[Id] [int] IDENTITY(1,1) NOT NULL,
[boro] [int] NOT NULL,
[IsNewVoter] [bit] NULL,
[Status] [varchar](2) NULL,
[OldVSN] [varchar](9) NULL,
[OldStatusReason] [varchar](20) NULL,
[OldStatus] [varchar](2) NULL,
[FirstName] [varchar](50) NULL,
[LastName] [varchar](50) NULL,
[Dob] [varchar](8) NULL,
[Ignore] [bit] NULL,
[YearEndCategory] [varchar](100) NULL,
[MostRecentRelevantAct] [int] NULL
```

- **Phase II – AVID 5.5.** This version upgrade was rolled out on January 2, 2018, containing these new features:

- New queues for Return Mail processing to ensure proper status changes without user intervention and to support new DOJ reporting requirements.
- A new facility to replace ITC flagging to make it very difficult to make bulk change the status of voters. This new facility requires these requests to be initiated by borough management on a bipartisan basis and is signed off by appointed bipartisan central office staff prior to processing. These requests, signoffs, and affected voter lists are all archived.
- Three new functions to streamline processes that previously required help desk tickets to accomplish in AVID. The three new functions:
 1. Reinstating a voter
 2. Opening a voter record for another county
 3. Moving a WIP (work in process) transaction from one county to another
- A new facility to merge potential duplicate voters within the city. This is a companion to the NYSDup facility for potential duplicates found from counties outside of NYC. (See: **AVID 5.5 Release Notes, Appendix D**)

o **Phase III – AVID 6.0.** NYC BOE executive management determined to become more “fail safe”, all voter modifications should be supported by a document image in the AVID image repository. The following features went into system test the last two weeks of March 2018 to support this objective:

- AVID queues, not users, will determine what voter status changes are to be made, if any, for a specific transaction. The only exception is a voter record correction. This correction will only be made by users of elevated privileges and only after a bipartisan team of correction and quality operators affirm that the correction to be made is consistent with the documents displayed in the voter record.
- New virtual documents have been developed and added to the archive for NCOA and yearly in-activations from returned Information Notices sent transactions. Completed in June 2018.
- Previously, absentee ballot requests would affect the voter record but would not become part of the document archive. Several new queues have been implemented to support all absentee documents for both registration (such as NVRA) and absentee ballot requests.
 - In 2016, the system had 20 queues.
 - As of March 1, 2019, the system has 50 queues.
 - As policies/procedures evolve, the queues may continue to increase.
- Affidavit tracking will be streamlined by adding a bipartisan affidavit envelope review process to AVID. The results will automatically be sent to the S-Elect System. All valid and invalid notices and activities will automatically generate.

In addition, after the review, a label is generated that is affixed to the affidavit envelope, eliminating the need for the reviewers to annotate on the envelope. Lastly, after the affidavit counts are developed and the affidavit envelopes are scanned for voter record modification, using barcodes printed on the label, AVID will show to the registration clerk all changes to the voter record that were identified by the affidavit envelope review team. (See: **AVID 6.0 Release Notes, Appendix E**)

- o **Phase IV – Operational Control Center.** For better monitoring of all batch processes, new monitors will be developed and provided to MIS. They will include:
 - Dashboards for all database and application servers, including the various state interfaces within the AVID registration system.
 - Online listings for all registration jobs.
 - Controls to pause, stop, and start feeds and application servers.

List Maintenance Unit and Staffing

The NYCBOE has established a **List Maintenance Unit (LMU)**, managed by each borough's Chief and Deputy Chief, and Executive Staff in the General Office. The LMU is staffed by existing Board employees who have knowledge and experience with the voter registration process. The Board plans to leverage their experience to ensure a decrease in processing errors and to streamline an efficient citywide voter registration process. These responsibilities were previously conducted by the NYC-BOE's Voter Registration Departments in the General Office and respective Borough Offices. With the establishment of the LMU, the Voter Registration Department will be responsible for processing new registrations. Once a voter has been processed and an acknowledgment notice mailed, the LMU will be responsible for maintaining the voter records.

The List Maintenance Unit consists of two (2) dedicated Borough Office Coordinators in each county office, two (2) Citywide List Maintenance Managers, and one (1) MIS List Maintenance Coordinator in the General Office, totaling fourteen (13) dedicated LMU supervisors.

Contact information for our LMU supervisors:

Bronx: Maria Martinez – acting LMU supervisor as of: January, 2019

Steven F. Demartis – appointment date: March 9, 2018

Kings: Rosamond Alvaranga – appointment date: February 11, 2018

Salvatore Barrera – appointment date: March 9, 2018

New York: Abigail McGloster – appointment date: January 21, 2018
 Robin Walker – appointment date: January 21, 2018

Queens: Maria Polito – appointment date: January 21, 2018
 Patricia Kelly – appointment date: January 21, 2018

Richmond: Daisy Fernandez – appointment date: January 21, 2018
 Kathleen McMahon – appointment date: February 4, 2018

Roles & Responsibilities of LMU Supervisors

Citywide List Maintenance Supervisor Responsibilities – General Office

- Within 90 days of the Decree, appoint one or more NVRA List Maintenance Borough Office Coordinators for each borough office. The following appointments were made by NYCBOE Commissioners:
 - Antonina Cali – appointment date: March 11, 2018
 - Maureen Galgano – appointment date: March 11, 2018
- Borough Office Coordinators report to the Citywide List Maintenance Managers
- Within 45 days of a vacancy, a new Borough Office Coordinator must be appointed
 - The Borough Chief and Deputy appoint an existing staff member to fill the role of acting bipartisan counterpart until a final appointment is made.
- Coordinate and attend all mandatory annual NVRA and New York Election Law training
- Ensure uniform and consistent citywide list maintenance practices
- Attend Borough Office Coordinators' initial training sessions on NVRA and New York Election Law
- With assistance from MIS List Maintenance Coordinators, administer tracking procedures for meeting required reporting and list maintenance activities
- Send reminders about reports and compliance updates to Borough Office Coordinators twice a year
- Train MIS Coordinators on NVRA and New York Election Law compliance responsibilities
- Ensure Borough Office Coordinators complete their NVRA and New York Election Law responsibilities accurately and on time
- Oversee the implementation of technical changes or changes to NYCBOE policy to implement the List Maintenance Plan.
- Determine the need for corrective action and implementation to ensure NYCBOE remains in compliance
- Conduct unannounced onsite borough visits. (At least quarterly, beginning in September 2019)

MIS List Maintenance Coordinator Responsibilities

Mr. Audy Ledan has been designated to this position.

- Provide Citywide List Maintenance Managers and Borough Office Coordinators with technological assistance to implement the Comprehensive Remedial Plan
- Assist Citywide List Maintenance Managers with administering tracking procedures for meeting required reporting and list maintenance activities
- Assist Citywide List Maintenance Managers with administering List Maintenance Training Program
- Train MIS employees who participate in list maintenance activities within 30 days of start date
- Within 45 days of a vacancy, a new MIS List Maintenance Coordinator must be appointed
- Provide annual refresher training to MIS list maintenance staff
- Attend all mandatory annual NVRA and New York Election Law training
- Certify to Citywide List Maintenance Managers that all MIS employees participating in list maintenance activities received annual training

Borough Office Coordinator Responsibilities

- Coordinate and oversee borough office compliance with Section 8 of the NVRA, Article 5 of New York Election Law, and the Comprehensive Remedial Plan
- Coordinate borough office compliance with the reporting deadlines set forth in the Comprehensive Remedial Plan: Monthly reporting, Semi-Annual NYAG audits in February and August, Annual reporting in March
- Notifying Citywide List Maintenance Managers and MIS List Maintenance Managers as soon as practicable of any implementation problems, training needs, and recommendations for improvement of list maintenance activities
- Assisting Citywide List Maintenance Managers in administering the training program
- Maintaining the voter registration lists in their assigned county
- Performing any other task or responsibility as directed by management

Complaint Intake Procedures:

{28 (h) – Complaint Process}

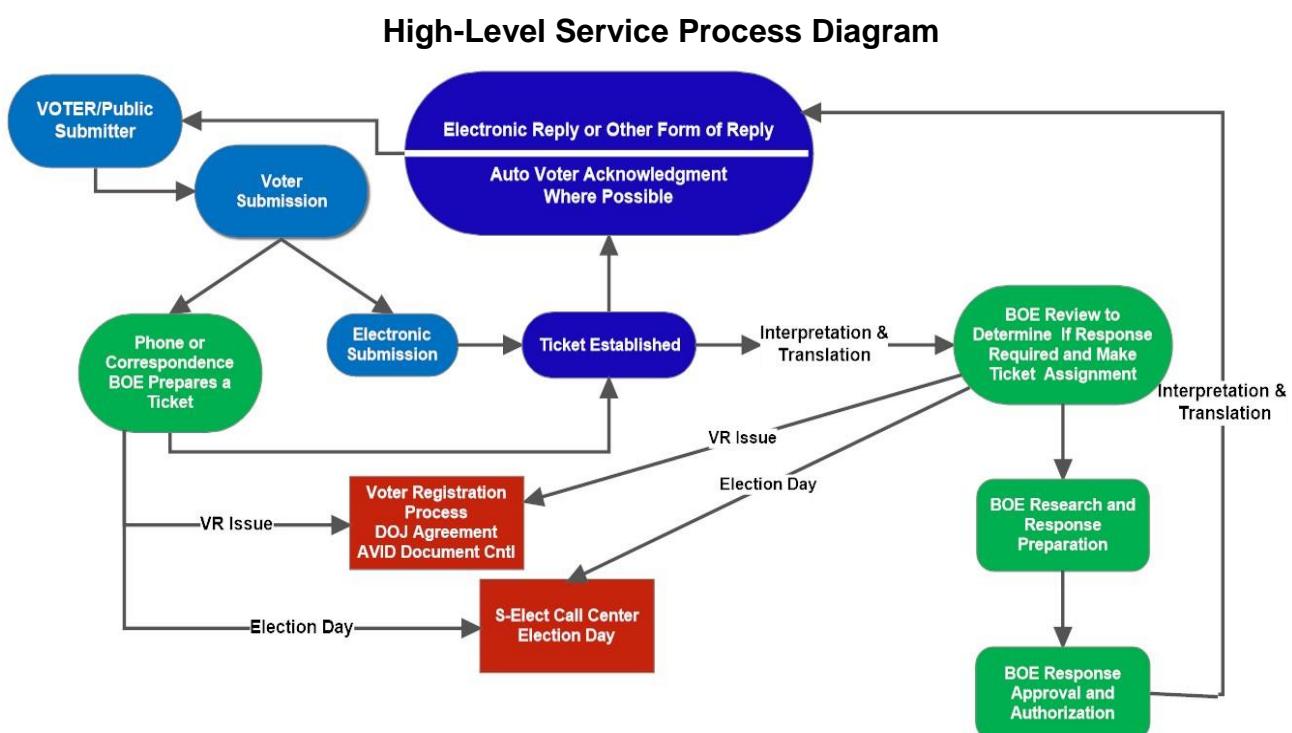
Voter and public communications are of primary importance to the NYCBOE. Currently, the NYCBOE receives communications by telephone, mail, and increasingly by electronic means, such as email and social media. It is important that the NYCBOE develop a system to track, report, and respond to these vital communications. To that end, the NYCBOE is in the process of obtaining complaint tracking software that will enhance Election Day call center capabilities.

NYCBOE Complaint Process Requirements

The initial requirement is to establish a system to receive, acknowledge, track, and respond to Voter/Public Communications. The system will be designed to accept electronic submissions, establishing a communication ticket and automatically acknowledge receipt to the sender. For nonelectronic communications, NYCBOE staff will create a ticket to enter the process in the system. After initial review, the ticket will be assigned to appropriate staff for research and response. Some correspondence will be channeled directly to other application areas until a fully integrated process is implemented.

See Process Diagram below.

Initially the Service Provider selected would be required to provide the essential service environment for the process described in the diagram below:



The NYCBOE currently has an Election Response Sub-System as part of its Election Information System (EIS). It handles tracking and resolution of internal and external reported problems on Election Day. This experience has encouraged the NYCBOE to examine the potential of developing a year-round voter/public communications tracking, reporting, and resolution system. A high-level examination has determined that the NYCBOE's ERSS is specifically designed for election event utilization and is not easily adapted for year-round use. As such, the NYCBOE will develop and implement an enhanced complaint tracking process. Initially, the project will concentrate on electronic communications with other types entered manually into the system. The Board has examined several development approaches including:

1. Retrofit existing Election Day Support Software Package - Call Center II, Election Responder, EDW, Standby Dispatch and Election inSite - to operate in a non-event, year-round mode
2. Leverage a third-party Customer Service Software Application without Election Day Support Applications integration
3. Integrate with an existing Customer Service Software Application to the extent of available APIs
4. Build a Custom Election Help Desk Application for the BOE with complete integration

Initial Proposal

After examining each of these options, the second approach (Leverage third-party Customer Service Software Application without Election Day Support Application integration) is the most realistic initial option. This option provides the Board a process that meets the initial requirements with minimal interruption on development program. It can be implemented and installed by the end of 2019. The board has procured "Zendesk" service system and is in the process of developing specific procedures for its utilization.

Long-Term Proposal

The long-term approach plans for the development and implementation of building a Custom Election Help Desk Application with complete integration. Experience gained from this initial approach will be valuable to the development of an entire integrated process.

Procedures to Track Complaints and Maintain Consistency

Complaints are received by the Board via e-mail, telephone or in writing. E-mail and written complaints from specific voters will be scanned and included in the voter's registration file. Complaints received via telephone will be indicated on a voter registration/list maintenance complaint form.

This investigatory process begins when any borough office of the NYCBOE ("Board") receives a voter complaint in person, by phone or via email. The Board will begin an investigation within five business days of receiving a complaint. A Board staff member accesses the complainant voter's record to identify any necessary corrections. Thereafter, the Board staff member scrutinizes each piece of the voter's record and history to properly investigate the complaint before the Board.

If the complaint is attributable to the Board's error, a Complaint Correction Intake Form is completed, verified by a Board employee of the other major political party and scanned into a queue for processing. List Maintenance Borough-Supervisors are responsible for documenting and tracking the processing of complaints in their assigned borough by utilizing Complaint Correction Intake Forms and a Complaint Tracking Excel Spreadsheet. Where the Board finds a complaint is attributable to the complainant voter's error, a new registration form is provided to the complainant to correct the voter record. When a final determination is made, the Board will provide the complainant voter a response outlining the Board's findings and corrective action via the communication method requested by the complainant. The Board will notify the voter or person, who filed the complaint within 10 business days of receiving a complaint. Copies of the complaint, Complaint Correction Intake Form, and resolution are filed with the General Office List Maintenance Managers and are retained for the Board's records. This ensures compliance with Board procedures.

In sum, when the NYCBOE receives a list maintenance complaint, it takes the following actions:

- Within **5 business days** of receiving a complaint, NYCBOE begins an investigation.
- Within **10 business days** of receiving a complaint, the NYCBOE notifies the voter or person who filed the complaint.
- **All complaints and investigations will be tracked and recorded** at the borough office and a copy will be submitted and filed with the General Office List Maintenance Managers.
- Borough Office Coordinators are responsible for documenting and tracking complaints in their assigned borough and ensuring a copy of the complaint and resolution is filed with the General Office List Maintenance Managers. This helps to ensure compliance with Board procedures.

All complaints will be referred to the Borough List Maintenance Staff. The above Complaint Intake procedure will be uniform in each borough.

Shown below are procedures initially provided in the June 4, 2018 Response to Internal Issues document. They have been incorporated into the Training and Procedures Manuals that the Board is finalizing.

➤ 26 – Procedures for Deaths and Changes of Address

Removal of Voters from Rolls Due to Death or Change in Residence¹

For the below processes an additional quality control element has been added to AVID to permit the tracking of data entry errors by employees. If a data entry error (i.e. misspellings, incorrect address/date of birth, numeric inversion entries, etc.) is identified during the quality queue review, the voter record is “bounced” to an employee from a different political party than the quality queue reviewer, and different from the employee whose work is the subject of quality queue review to finalize the processing of the record. This new process allows the system to track errors and attribute them to specific employees by way of a “tally.” The tallies will be used by supervisory staff to give remedial instruction to staff and to evaluate individual staff performance.

Death:

Hardcopy Notification – Death Certificate:

- Voter’s family member sends the Board a death certificate².
- Death certificate is scanned into the “death certificate” registration queue.
- Board employee accesses voter record and searches AVID to determine voter information.
- Upon verifying the correct record in AVID, the voter status changes to **“P” for purged with a “death” reason code** and the file is saved (process is not complete until the quality queue review is completed).
- Processed document routes to the quality queue.
- Employee from a different political party verifies work has been completed accurately and the file is saved.
- If there is bipartisan agreement at this juncture the process is complete and the removal of the voter from the registration list by reason of death is processed.
- If there are errors, the file is bounced to another employee for another round of review.

Virtual Notifications – from New York State Board of Elections (NYSBOE):

- The Board receives a death notice in virtual form from the NYSBOE nightly. AVID runs a nightly query for Duplicate, Death, and Felon transactions for all five (5) counties.
- A document image is created and the virtual file is added to the “NY State Death Notification” queue in the AVID system for processing.

¹ The below procedures are subject to the Escalation Process – in the event there is disagreement between the initial processing employee and the employee performing the quality queue review, successive reviews will be performed until bipartisan consensus is reached, as follows: Borough List Maintenance Supervisors → Borough Chiefs and Deputies → Borough Commissioners → Full Board of Commissioners.

² Direction from the New York State Board of Elections provides that a voter may be removed from the registration list by reason of death based on the personal knowledge of an elections official. Such circumstances are infrequent; however, a memorandum detailing the information regarding the voter’s death is prepared and scanned into AVID in place of a formal death certificate.

- Employee accesses the queue and the voter data is populated on the right side of the screen. This eliminates the need to perform a search to obtain voter information. The NYSBOE indicates the specific voter record they would like the Board to match against.
- The “Delete” button has been replaced with a “No Match” button. Staff must select the “Match” or “No Match” button (this more accurately captures the activity performed by the process and requires the employee to make an appropriate choice).
- Board employee reviews the information to properly cancel voter or push the “No Match” button if NYSBOE information does not match voter information on file.
- In cases where employee pushes “No Match” instead of the normal “Delete,” the user will select one of the following reasons:
 - Recent activity;
 - Address mismatch;
 - DOB mismatch;
 - Already purged.
- Processed document routes to the quality queue.
- Employee of a different political party verifies work has been completed accurately and the file is saved.
- NY Election Law does not require a notice to be sent under these circumstances.

Address Change:

Registration:

- The Board receives a hardcopy of new registration.
- Employee sorts registration into batches to match correct AVID queue.
- Batches are scanned into proper queues and employee enters the specific queue.
- Employee searches AVID to find voter record, then verifies it's the correct voter.
- Employee clicks on Voter Serial Number (VSN), updates the address and saves the file.
- Processed document routes to the quality queue.
- Employee of a different political party verifies work has been completed accurately and the document is saved.
- The Board mails a Transfer Notice to the voter indicating the address change (the notice is generated by AVID based on the processing queue).

Affidavit Ballot:

- Voter completes and submits an Affidavit Ballot at a poll site.
- The Board receives the Affidavit Ballot and a bipartisan team reviews its validity.
- Affidavit envelopes are scanned into their proper AVID queue.
- Board employee enters the specific queue, searches AVID to find voter record and verifies that it is the correct voter.
- Employee clicks on VSN, updates the address, and saves the file.
- Processed document routes to the quality queue.
- Employee of a different political party verifies work has been completed accurately and the file is saved.

- The Board mails a Transfer Notice to the voter indicating the address change (the notice is generated by AVID based on the processing queue).
- If it determined that the individual is not a registered voter, the affidavit ballot will not be counted and the document will be processed as a new voter registration.
- The scanned document will be forwarded to the Full Page Affidavit Form queue
- For new voters, the Board mails an acknowledgement notice (the notice is generated by AVID based on the processing queue).

Change of Address

Annual – Information Notices – Hardcopy Notification

- The Board mails Information Notices to registered voters as required by NYS Election Law annually not less than 65 days or more than 70 days before the Primary Election.
- The United States Postal Service (USPS) returns Notices to the Board that were not deliverable.
- The USPS captures reasons for the returns on “yellow stickers” affixed to the returned mail.
- Board employees sort the returned mail by category and documents are scanned into the respective queues.
- Board employee enters the specific queue and searches AVID to find voter record and verifies that it is the correct voter.
- Employee clicks on the corresponding VSN, updates the address, and saves the file.
- Processed document routes to the quality queue.
- Employee of different political party verifies that work has been completed accurately and the file is saved.
- The Board mails a Transfer Notice to the voter indicating the address change (the notice is generated by AVID based on the processing queue).

Department of Motor Vehicles (DMV) – Hardcopy Notification

- The Board receives Change of Address Form for voter from the DMV.
- DMV form is scanned into the proper AVID queue.
- Board employee enters the specific queue, searches AVID to find voter record, then verifies it's the correct voter.
- Employee clicks on the corresponding VSN, updates the address, and saves the file.
- Processed document routes to the quality queue.
- Employee of a different political party verifies that work has been completed accurately and the file is saved.
- The Board mails a Transfer Notice to the voter indicating the address change (the notice is generated by AVID based on the processing queue).

National Change of Address (NCOA) – Post Office Report – Virtual Notification

- Annually, the Post Office sends an NCOA file to the NYSBOE containing voters who have moved.
- The NYSBOE conducts a preliminary review and thereafter forwards the file to the Board.

- The Board receives the NCOA file and it is processed in AVID correlating with the respective voters' records.
- The system places voters that have moved out of the NY City into inactive status – voter receives a Confirmation Notice.
- Virtual image files are created, AVID updates the address, and a system-generated Transfer Notice is mailed to the voter indicating the address change (the notice is generated by AVID based on the processing queue).

NOTE: The Board discovered inconsistencies with the USPS processes and their returned mail codes. The Board has made numerous attempts to clarify this information since 2016. Ultimately, meetings, calls and emails to obtain an accurate and complete list of returned mail codes from the USPS were unsuccessful. The continued hindrance created by USPS inefficiencies and errors hampers the Board's ability to create a uniform process for sorting and updating voter records. The Board depends on the USPS returned mail codes to update voter records accurately. Due to the USPS postal code inconsistencies, the Board created a spreadsheet with every postal code received from the USPS as reflected on yellow returned mail labels.

The Board's postal code spreadsheet is a draft, labeled, **PARS Code Glossary**. It provides the definition of the USPS returned mail codes, the most common scenario and required action for borough staff to process the voter information. The Board has also made the decision to run NCOA reports more frequently to aid in maintaining an accurate registration list. (See: **Appendix G to review the draft of Board's PARS Code Glossary and samples of USPS returned mail codes**)

Change of Address – Registered Voters Who Moved Within NYC:

- The system replaces the present home address with the new address provided by the USPS (code 96). This change appears with the letters USPS on the voter activity screen.
- A report of "before" and "after" addresses will be generated for the boroughs as a record after the update to the database.
- This report is retained for two years in date order. MIS will create and retain CDs permanently.

Change of Address – Registered Voters Who Moved Outside NYC, but within the US:

- The system updates the database with the new address provided by USPS (code 95). The new address will appear on mailing address field-lines 1 & 2, provided that those lines do not contain another address. The change appears with the letters USPS on the voter activity screen.
- The system changes the voter status from **"A" active to "X" inactive**. The Confirmation Notice is system-generated and sent to the voter's old address if the status changes to "X" inactive. A report of "before" and "after" addresses will be generated for the boroughs.
- The report is retained for two years in date order. MIS will create and retain CDs permanently.

Change of Address – Registered Voters Who Moved Without a Forwarding Address:

- The system will generate a report listing the old address.
- The system changes the voter status from **“A” active to “X” inactive**.
- A Confirmation Notice is system-generated and sent to the voter’s old address.
- The report is retained for two years in date order. MIS will create and retain the CD permanently.

Change of Address – Registered Voters Who Moved Out of the Country:

- The system will generate a report listing the old address and indicate the new address.
- The Borough Offices will conduct an inquiry for each entry.
- The voter status will be changed by the borough from **“A” active to “X” inactive**.
- A Confirmation Notice is system-generated and sent to the voter’s old address.
- The report is retained for two years in date order. MIS will create and retain the CD permanently.

DMV – Electronic Registrations – EDMV – Virtual Notification

- The Board receives virtual documents from Department of Motor Vehicles for voter.
- Board employee enters the queue, searches AVID to find voter record, and verifies that it is the correct voter.
- Employee clicks on the corresponding VSN, the address is updated, and the file is saved.
- Processed document routes to the quality queue.
- Employee of the opposing political party verifies that work has been completed accurately and the file is saved.
- The Board mails a Transfer Notice to the voter indicating the address change (the notice is generated by AVID based on the processing queue).

Note: All voter data, including address changes are updated based on the DMV notification.

- 28 (a) and (b) – **AVID 6.0 Release Notes(upgraded system procedures)**

Step by Step Account of the List Maintenance Procedures

The AVID 6.0 Release Notes details the 11 procedures outlined in the CRP. AVID 6.0 is a document-based queue driven system that standardizes processing. (See: **AVID 6.0 Release Notes, Appendix E**)

Activity to change a voter record now requires a document (either PDF or virtual) to be scanned into a category specific queue or created and posted to a category specific queue. Bipartisan teams

of employees work the respective queues to process any changes to the voter records. Overriding the system is **NOT** an option. The INFO66 function was completely disabled on May 18, 2016.

As stated above, an additional quality control element has been added to AVID to permit the tracking of data entry errors by employees. If a data entry error (i.e. misspellings, incorrect address/ date of birth, numeric inversion entries, etc.) is identified during the quality queue review, the voter record is “bounced” to an employee from a different political party than the quality queue reviewer, and different from the employee whose work is the subject of quality queue review to finalize the processing of the record. This new process allows the system to track errors and attribute them to specific employees by way of a “tally.” The tallies will be used by supervisory staff to give remedial instruction to staff and to evaluate individual staff performance.

In addition, changes to voter records are subject to the Escalation Process – in the event there is disagreement between the initial processing employee and the employee performing the quality queue review successive reviews will be performed until bipartisan consensus is reached, as follows: Borough List Maintenance Supervisors → Borough Chiefs and Deputies → Borough Commissioners → Full Board of Commissioners.

This upgraded system has been designed to permit step-by-step tracking of any changes to a voter’s records (including employees performing such activity and date/timestamps for each action). The upgraded system meets the requirements of NVRA, NY Election Law and NYSBOE rules and will be updated in accordance with any future amendments thereto.

28 (b)(x) – Procedures for Voter History With and Without Electronic Poll-Books

Electronic Poll-Books:

- After the polls close each day, (early voting and Election Day) electronic poll books synchronize the list of cast ballots utilizing the electronic poll book management software.
- MIS extracts from electronic poll book management software voter participation data from electronic poll-books. This extraction populates the *e-PollBookHistory* table to AVID.
- A voter history update procedure is used to update the day's history to the AVID '*VoterHistory*' table and update each voter's records.
- Thereafter the State Board of Elections is updated using the Statewide Voter List.
- During early voting, cumulative by borough voter participation lists for the current election is created each night after the State update is completed.
- Backup printed poll books are maintained in case of electronic poll book problems. If there is a significant issue with electronic poll-books at a given early voting site, an early voting site will utilize the most recent Early Voting List to check whether a voter previously voted before signing the printed poll book.

- In the event that electronic poll books become unusable at a site, poll workers will utilize back-up printed poll books. At those early voting poll sites, poll workers check each voter has not already voted using the most recent *Early Voting List*. If a voter has not voted, the voter will sign the printed poll book. After the printed poll books are returned to the borough office manual bar code voter history procedures outlined below are utilized.

Manual Printed Poll Books:

- After an election, the Board of Elections completes voter history scanning of its printed poll books through barcode scanning.
- The voter history operator uses a handheld scanner to record poll book entries for all voters who signed the poll book, and all voters who were entered as having voted by Absentee or Affidavit Ballot.
- Manual entry is necessary for any history that cannot be scanned from the poll book barcode.

AVID 6.5 – Release Notes (upgraded system procedures for Fall 2019)

To consolidate accountability for voter status changes, the Board has designated departments and individuals at the borough and general offices to perform and monitor voter list maintenance functions to be compliant with our Consent Decree. This new mandate has fundamental implications to the underlying architecture and workflow processing of the AVID Voter Registration System.

To meet these new challenges, the following List Maintenance changes will be made to AVID:

1. Expanded Role Processing

The new AVID 6.5 list maintenance support functions will be interwoven into the existing AVID registration process to ensure voter status determination is performed exclusively by List Maintenance or management staff. List maintenance staff will be the first point of contact and decision makers on whether a specific work item is from a new or existing voter submission.

Upon this determination, the work item is either routed to users who process new voter work items or it will remain within the purview of List Maintenance for completion. If a work item previously determined to be from a new voter is later linked to an existing voter, that work item is escalated to the List Maintenance staff for completion.

2. Exhaustive Voter Search

AVID fires several automated queries between the Registration stage (initial data capture) and Quality stage (bipartisan review) for every work item processed. This is done in order to check to see if a voter duplicate has been created.

To further eliminate potential duplicates, AVID 6.5 will require various voter searches to be performed during the initial data capture in the Registration stage. These new queries will be enforced uniformly across boroughs. This mandate ensures that the proper voter classification (new or existing) is made for processing by staff.

3. Return Mail Processing Enhancements

To ensure that the proper statuses are applied to voter records when returned mail is received at the Board, AVID will capture additional coding information found on the postal markings of the returned envelope. These reason codes for returned mail will help us better determine the status category when processing the voter record.

It is important to note and reiterate what was previously addressed in the USPS Reports (Change of Address) Procedures within this document:

The Board has made numerous attempts to clarify this information since 2016. Ultimately, meetings, calls and emails to obtain an accurate and complete list of returned mail codes from the USPS were unsuccessful. The continued hindrance created by USPS inefficiencies and errors hampers the Board's ability to create a uniform process for sorting and updating voter records. The Board depends on the USPS returned mail codes to update voter records accurately. Due to the USPS postal code inconsistencies, the Board created a spreadsheet with every postal code received from the USPS as reflected on yellow returned mail labels (this paragraph has been reiterated for emphasis).

4. System Administration Enhancements

In order to support the new list maintenance function within AVID, the AVID 6.5 System Administration facility will be updated to offer several new roles. These roles will support the initial data entry, bipartisan review, and management of the new list maintenance function. AVID system security and authorization modules will also be updated in this effort.

- 28 (d) – Reinstating Voters Improperly Removed Since July 1, 2013

Procedures to Track these Voters and Determine the Number of Cancellations

On February 13, 2018, the Board conducted an AVID system query for the time period of July 1, 2013 through December 13, 2017. Accordingly, the number of cancelled voters in that time period is **556,353**. The breakdown is as follows:

Number of Voter Cancellations Time period: 7/1/13 to 12/31/17 (Current Status)	Cancelled Voter Reason Codes
246,362	MOVED (NYSDup, NCOA, ITC or other)
35,070	DUPLICATE (merged)
1,174	VOTER-REQUEST
95	ADJUDICATED-INCOMPETENT
120,427	DEATH
4,777	FELON³
148,448	NVRA

Individual queues were established based upon the categories of voters set forth. The purpose of such queues was to conduct a *de novo* processing of the record. The review was conducted in accordance with procedures established for processing the type of individual records and either confirms or contradicts the original determination. If the original determination was confirmed, the same was properly reflected in the voter record.

Any voter for which the Board did not possess sufficient documentation according to present standards was restored to active status. Restoration to active status occurred as such determination was made.

The voter records were reviewed individually on a bipartisan basis. The queues were established on July 1, 2018. Thereafter, the borough list maintenance staff began the review process. The results thereof are reflected in the Board's monthly reports.

³ The Board continues to have difficulty obtaining felony conviction information from the US District Courts. There remain instances of individuals convicted of felonies in federal court for which the Board did not receive certificates of conviction. The Board continues to receive outdated and/or expired notifications. The Board also receives certificates of conviction after an individual's sentence has been completed. These difficulties complicate the process of maintaining accurate records and processing pardon revocations.

Please note that of the 556,353 voters who were cancelled during that period, a total of 129,289 were reinstated and currently remain in active status.

Of note a total of 113 voters who had been cancelled between 7/1/2013 and 12/31/2017 were reinstated during 2018, encompassing the completed cancellation review.

Training – for List Maintenance Implementation Program

Citywide List Maintenance Managers assigned to the General Office are responsible for training all List Maintenance Supervisors. Borough List Maintenance Supervisors are responsible for training all list maintenance staff at their assigned borough office.

The most recent version of List Maintenance Procedures, which were approved by the Commissioners on December 17, 2019, are attached hereto as Appendix F.

Upon the implementation of AVID 6.0, there was an initial training. The List Maintenance team held eight meetings between March 2018 and January 2019. Three of the meetings were to assist in the development of AVID 6.0, its procedures, and to review and update the New Affidavit Procedures. Those meetings were considered to be **Train the Trainers** meetings.

The Citywide List Maintenance Managers are responsible for developing, scheduling and implementing initial training for newly assigned list maintenance employees and refresher/update training for employees assigned to the List Maintenance Unit at appropriate intervals. The Board has currently only held **Train the Trainer** sessions with List Maintenance Supervisors. Those supervisors have helped and continue to help develop the upgraded system. They have been instrumental in creating AVID 6.5 which will be in production in the Fall of 2019.

Training Issues

Any issues that arise are shared with the List Maintenance team. Collectively it is discussed, addressed and resolved as soon as possible. The General Office List Maintenance Managers meet daily, in person, by conference call or email with the MIS List Maintenance coordinators to discuss issues that arise and to develop successful outcomes.

Updates to Training Materials

Consistent with training sessions, List Maintenance Managers will conduct **quarterly** reviews of the training course materials with the List Maintenance Borough Supervisors, to discuss any issues that may have arisen and review current procedures. Based on the information received from these meetings, training materials will be updated accordingly.

Within 60 days after enactment of new provisions of the New York Election Law, the List Maintenance Managers will submit any necessary updates to the training materials which reflect statutory changes to the Commissioners of Elections for approval.

Citywide List Maintenance Manager and MIS List Maintenance Coordinator Training Responsibilities:

- Provide **quarterly** training to all Borough Office Coordinators and additional staff training when needed.
- Perform unscheduled, unannounced site visits to review procedures, policies, forms and list maintenance training materials as an internal audit function. This has yet to occur due to the volume of work Board staff is experiencing implementing and reporting on List Maintenance.
- Provide training to Borough Office Coordinators. Training sessions are held for each rollout.
- Maintain a log of existing training manuals and materials.
- Review and update training manuals, procedures and other materials annually. The Board is finalizing the completion of these materials.
- Update and distribute procedures to borough office staff within **30 days** of any list maintenance systems implementations.

Borough Office Coordinator Training Responsibilities:

- Attend all training provided by Citywide List Maintenance Managers and MIS List Maintenance Coordinators
- Provide training to all borough office employees assigned to perform list maintenance activities
- Provide mandatory annual NVRA and New York Election Law refresher training to all borough office employees assigned to perform list maintenance activities
- Provide training to all new borough office employees assigned to perform list maintenance activities at the site within 10 business days after the new employee's start date and prior to the employee performing any list maintenance activities
- Create and maintain a **Borough Staff Checklist** for meeting training requirements

- Assist Citywide List Maintenance Managers in administering the training program
- Certify that all borough office employees received annual training

Remedial Action Plan—Administrative Matters:

This CRP is a working document that may be updated annually or no later than ninety (90) days after the enactment of a state statute affecting list maintenance procedures and policies or additional guidance or procedures from the New York State Board of Elections.

The CRP recognizes that:

- In order to meet the requirements of the Consent Decree and in light of an unprecedented number of Election Law reforms affecting the processing and maintaining of certain voter registration records, the CRP is a ‘working document’; It is expected that further changes will be adopted in the near future and as such, there will be changes to the manner in which the Board performs its statutory duties and responsibilities;
- This includes changes to the New York Election law including, but not limited to the pre-registration of 16, and 17 year-olds, inter-county transfers (currently awaiting finalized guidance and New York State Board regulations), statewide address changes, online voter registration, mailing of special ballots to victims of domestic violence, and changes to the deadline to submit a change of party enrollment.

Annual List Maintenance Report

Annual List Maintenance Reporting Requirements:

- Reporting for each borough is in Excel format and due by March 1 of every year.
- Provide a report reflecting all list maintenance activities from the previous calendar year.
- The report must contain:
 - A summary of efforts to implement each provision and requirement of the Consent Decree, including the results of the NYCBOE internal tracking, audits, site visits, and calls as outlined within this Plan.
 - A description of any problems encountered, correction action plans created and implemented.
 - Copies of any new or revised NVRA and New York Election Law procedures, rules, regulations, publications, and training materials used in the preceding year or to be used in future reporting periods.
- Provide a report to the United States, NYAG and Private Plaintiffs for each election during the prior calendar year with the data broken down by each borough office.
- Provide the number of:
 - Affidavit ballots cast by inactive voters with additional breakdown of voter’s address change by way of:

- ❖ NCOA Notice – No Forwarding Address
- ❖ NCOA Notice – Forwarding Address Outside of Jurisdiction
- ❖ Returned Mail – No Forwarding Address
- ❖ Returned Mail – Forwarding Address Outside of Jurisdiction
- The number of affidavit ballots cast by cancelled voters with additional breakdown of:
 - ❖ Change of address based on second-hand info, no response to Confirmation Notice
 - ❖ Change of address based on second-hand info, affirmative response to Confirmation Notice
 - ❖ Request of registrant, based on submission of voter registration in another NY jurisdiction
 - ❖ Request of registrant, based on other confirmation in writing
 - ❖ Death of the registrant
 - ❖ Duplicate registrant

Enforcement Remedies:

- NYCBOE must receive written notice of any objections related to complying with the Consent Decree.
- NYCBOE retains voter registration and list maintenance records related to the terms of the Consent Decree for two years. This includes training materials and other related documents under NVRA and the New York Election Law.
- List Maintenance records are available for inspection by counsel for the United States, the NYAG, or the plaintiffs of the Consent Decree during the two-year period.
- After the expiration of the Decree's minimum term, the NYCBOE will provide a Compliance Report with appropriate documentation to demonstrate reaching the terms of its agreement.
- The Compliance Report will show that NYCBOE has the means and intent to continue to comply with Section 8 of the NVRA.

Semi-Annual List Maintenance Report Requirements

Here are the List Maintenance Semi-Annual Reporting Requirements:

- Reporting for each borough is in Excel format and due by the 15th of every February and August.
- The report must contain individual voter files removed from the voter rolls over the preceding six months.

- After reviewing these data files, the NYAG in consultation with the United States may provide the NYCBOE with written notice of any potential list management errors it identifies. In turn, the NYCBOE will investigate the potential errors according to the procedures of this Plan.

Monthly List Maintenance Report Requirements

Here are the List Maintenance Monthly Reporting Requirements:

- Reporting for each borough is in Excel format and due by the 15th of every month
- Provide the number of:
 - Active Voters
 - Inactive Voters
 - Registered Voters who transferred within the jurisdiction
 - ❖ Providing the information source: change of address by way of
 - ❖ NCOA Notice
 - ❖ Returned Mail
 - ❖ Voter Registration Application
- The number of registered voters whose status changed from active to inactive, and the number whose status changed from active to cancelled, the **inactive and cancelled** status must be further defined by
 - Voter's address change by way of:
 - ❖ NCOA Notice – No Forwarding Address
 - ❖ NCOA Notice – Forwarding Address Outside of Jurisdiction
 - ❖ Returned Mail – No Forwarding Address
 - ❖ Returned Mail – Forwarding Address Outside of Jurisdiction
- For the number of registered voters whose status changed from **active to cancelled**, the cancellation status must be further defined by these grounds for cancellation:
 - Cancelled due to change of address based on second-hand information, no response to confirmation notice
 - Cancelled due to change of address based on second-hand information, affirmative response to confirmation notice
 - Cancelled due to voter request, based on submission of voter registration in another NY jurisdiction
 - Cancelled due to voter request, based on other written confirmation

- Cancelled due to death of the registrant
- The report provides a breakdown of:
 - Return of Confirmation Notice
 - Voting or appearing to vote in an election
 - Submission of a new voter registration form
 - ❖ The number of voter registration records contained in this NYSVoter Duplicate Maintenance Report:
 - Potential Duplicate
 - Marked Duplicate
 - Marked Non-Duplicate
 - No Action <=30 Days
 - No Action >=30 Days
 - Purged Voters
 - Purged by County EMS
 - Submission of deceased voters
 - ❖ The number of voter registration records contained in this NYSVoter Deceased Maintenance Report:
 - Potential Deceased
 - Marked Deceased
 - Marked Non-Deceased
 - No Action <=30 Days
 - No Action >=30 Days
 - Purged Voters
 - Purged by County EMS
 - Registration records flagged for INFO66
 - ❖ The number of voter registration records flagged for INFO66 must be separated into the respective categories for the flagging.

(See: Appendix B for Reporting Schedule.)

List Maintenance General Office Managers and Supervisors Reports for Quality Control

List Maintenance General Office Managers and Borough-Supervisors review several reports on a daily and weekly basis to audit and monitor employees' accuracy in maintaining voter rolls through the AV-ID Report Selector. The AVID Report Selector is accessed via the Management Queue where List Maintenance General Office Managers and Supervisors may review the below reports. General Office Managers and Borough-Supervisors may select a specific report within any customized date range or by any given week or month.

As described in detail below, all Borough-Supervisors and General Office Managers evaluate their employees on productivity and accuracy in reviewing Bounce Reports and the AVID Activity Reports. List Maintenance Managers conduct quarterly meeting and training sessions with employees to discuss any issues and staff is notified and trained on new procedures when new laws are passed.

Before processing registrations independently, new hires are trained by List Maintenance Supervisors via a training module and must complete fifty transactions accurately. Trained employees may also be retrained if warranted.

Events that trigger retraining of staff may include:

- Data entry errors (ex. name, address, D.O.B., HAVA);
- Erroneously cancelling a voter;
- Erroneously inactivating a voter;
- Erroneously registering a voter (ex. citizenship query not checked off); or
- Failing to update a future party change.
- Erroneously merging the records of two different voters,

List Maintenance General Office Managers and Borough-Supervisors ensure accuracy on a weekly basis by cross-checking changes itemized in AVID Activity Reports against voter registrations for additional quality control. Employees who make multiple mistakes are identified within these reports and are provided additional training in areas where mistakes are most prevalent.

If approximately 5% of a trained employee's transactions are erroneous, that staffer should be retrained. Supervisors often use their judgment when making retraining decisions. If Supervisors notice any staff member (new or current) making consecutive mistakes, they often step in and immediately assist them.

1. **AVID Production User Rank** – This daily report shows Borough-Supervisors how much work employees have processed in Registration/Quality Queues and the amount of corrections made in quality queue review. This report is customizable as stated above, and adaptable into distinct sub-reports below; the reports below also assist the Borough-Supervisors in reviewing the employees' productivity. Reports may be further customized as:

- a. *AVID Production User Rank- Registration Only*: This sub-report shows the Borough-Supervisors how many registrations are processed by employees and the amount of completed registrations.
- b. *AVID Production Summary by User*: This sub-report shows the Borough-Supervisors the amount of registrations, quality queue reviews and changes completed by employees, such as name changes, address changes, adding HAVA, or a changed or added phone number.
- c. *AVID Production Summary by Document Type*: This sub-report shows the Borough-Supervisors how much work is being processed in a specific queue type. It is broken down by document type to show how complete each document is.
- d. *AVID Production by User & Document Type*: This sub-report shows the Borough-Supervisors show how much work is being processed by registration employees, including how many quality queue reviews are being processed, organized by specific queue type.
- e. *AVID Summary*: This sub-report shows the Borough-Supervisors exactly how many registrations were processed, quality queue reviews were completed and all changes made within a day, week or month such as name or address changes, adding HAVA, or changing phone numbers.

2. **Bounce Report** – This weekly report shows the List Maintenance General Office Managers and Borough-Supervisors any errors employees have made. It is driven out of the quality queue review. If a data entry error (misspellings, incorrect address/date of birth, numeric inversion entries, etc.) is identified during the quality queue review, the voter record is “bounced” to another employee from the other major political party for review. This report process tracks errors and attributes them to specific employees by way of a “tally” within the system. Tallies are used by Borough-Supervisors to provide remedial instruction to employees and to evaluate individual employee’s performance.

When an employee is processing a registration form in quality queue review and determines an error was made, a screenshot is taken of the error. The Borough-Supervisors review the error and maintain a log of how many errors each employee makes. If during the review of any reports, the Borough-Supervisors notice an employee is repeatedly making the same errors, the employee is retrained. The Borough-Supervisors send a weekly log to the List Maintenance General Office Managers advising them on which employees needed retraining.

3. **AVID Suspend Stage Report** – This weekly report shows the reason missing information letters are sent to voters. This Report may also be sorted by document type or by batch and document type, as distinguished below:

- a. *AVID Suspend Report by Doc Type*: This sub-report shows Borough-Supervisors the reason that staff sent a missing information letter, organized by a specific document type and by user.
- b. *AVID Suspend Report by Batch/Doc*: This sub-report shows the reason staff sent a missing information letter by a specific date, user, batch, and document number.

4. **AVID Summary Report Citywide** – This report shows List Maintenance General Office Managers and Borough-Supervisors the total count of voter registrations, quality control and changes to voter registrations processed by all five boroughs.
5. **Daily Mail Report** – This daily report is accessed and reviewed by List Maintenance General Office Managers and Borough-Supervisors. The report provides a citywide and borough-by-borough breakdown of the following outgoing mail: New Acknowledgement Notices (new registrations), Change Acknowledgement Notices (any changes to voter registration form), Cancellation Notices, Confirmation Notices (inactive status), and Transfer Notices. Borough-Supervisors may also request a report from the MIS department to review cancellations specifically by VSN, name and reason for cancellation.
6. **AVID Activity Report** – This weekly report provides a breakdown of all new voters added into the registration rolls and any changes or updates to a voter's record (ex: address change, party enrollment change, name change, etc). This report also shows any voter whose record was cancelled due to death, duplication or felony.

This Report is checked by List Maintenance General Office Managers and Borough-Supervisors by utilizing the VSN (voter serial number) of the voter. A check is completed to ensure voter information is correct (spelling of name, address, party enrollment, etc). This report gauges employee accuracy and enables Borough-Supervisors to track any errors. It ensures errors are corrected in a timely fashion, and that any employee who has repeated errors is re-trained or transferred.

CRP

This Plan:

- Along with any future updates, will remain effective until **December 3, 2020** or upon the termination date of the Consent Decree.
If the NYCBOE's motion to terminate the Consent Decree is denied, the NYCBOE may renew its motion one year after the date of denial upon a 45 day notice to the United States, the NYAG, and the Private Plaintiffs.